

FORM PTO-1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date submitted to PTO: October 6, 2003

ATTY DOCKET NO.  
213202.00369APPLICATION NO.  
10/073,227APPLICANT  
IAN M. PENN, ET AL.FILING DATE  
February 13, 2002GROUP  
3731

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
1/2	3,657,774	Apr. 25, 1972	Reynolds		73 CF	
	3,993,078	Nov. 23, 1976	Bergentz et al.	128	334 R	
	4,503,569	Mar. 12, 1985	Dotter	3	1.4	
	4,553,545	Nov. 19, 1985	Maass et al.	128	341	
	4,580,568	Apr. 8, 1986	Gianturco	128	345	
	4,655,771	Apr. 7, 1987	Wallsten	623	1	
	4,681,110	Jul. 21, 1987	Wiktor	128	343	
	4,733,665	Mar. 29, 1988	Palmaz	128	343	
	4,739,762	Apr. 26, 1988	Palmaz	128	343	
	4,762,128	Aug. 9, 1988	Rosenbluth	128	343	
	4,768,507	Sep. 6, 1988	Fischell et al.	128	303 R	
	4,795,458	Jan. 3, 1989	Regan	623	1	
	4,800,882	Jan. 31, 1989	Gianturco	128	343	
	4,830,003	May 16, 1989	Wolff et al.	128	343	
	4,856,516	Aug. 15, 1989	Hillstead	128	343	
	4,878,906	Nov. 7, 1989	Lindemann et al.	623	1	
	4,886,062	Dec. 12, 1989	Wiktor	128	343	
	4,907,336	Mar. 13, 1990	Gianturco	29	515	
	4,954,126	Sep. 4, 1990	Wallstén	600	36	
1/6	4,969,458	Nov. 13, 1990	Wiktor	606	194	
EXAMINER	DATE CONSIDERED 04/07/04					

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

F512A0000049.DOC (Rev. 4/15/98)

Sheet 1 of 9

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 FORM PTO 1449 (modified)  
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 PATENT & TRADEMARK OFFICE

U.S. DEPARTMENT OF COMMERCE  
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**3731**

U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
✓	4,994,071	Feb. 19, 1991	MacGregor	606	194		
✓	5,019,085	May 28, 1991	Hillstead	606	108		
✓	5,037,392	Aug. 6, 1991	Hillstead	604	96		
✓	5,035,706	Jul. 30, 1991	Giantureo et al.	606	198		
✓	5,041,126	Aug. 20, 1991	Gianturco	606	195		
✓	5,061,275	Oct. 29, 1991	Wallstén et al.	623	1		
✓	5,102,417	Apr. 7, 1992	Palmaz	606	195		
✓	5,104,404	Apr. 14, 1992	Wolff	623	1		
✓	5,108,417	Apr. 28, 1992	Sawyer	606	198		
✓	5,116,365	May 26, 1992	Hillstead	623	1		
✓	5,133,732	Jul. 28, 1992	Wiktor	606	195		
✓	5,135,536	Aug. 4, 1992	Hillstead	606	195		
✓	5,139,480	Aug. 18, 1992	Hickle et al.	604	8		
✓	5,147,385	Sep. 15, 1992	Beck et al.	623	1		
✓	5,161,547	Nov. 10, 1992	Tower	128	898		
✓	5,192,307	Mar. 9, 1993	Wall	623	1		
✓	5,195,984	Mar. 23, 1993	Schatz	606	195		
✓	5,197,987	Mar. 30, 1993	Koch et al.	623	20		
✓	5,201,901	Apr. 13, 1993	Harada et al.	606	198		

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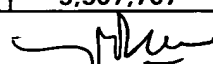
DATE CONSIDERED

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Sheet 2 of 9

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APPLICANT <b>IAN M. PENN, ET AL.</b>						
FILING DATE <b>February 13, 2002</b>					GROUP <b>3731</b>	
U.S. PATENT DOCUMENTS						
*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
VB	5,266,073	Nov. 30, 1993	Wall	623	1	
	5,269,802	Dec. 14, 1993	Garber	606	191	
	5,282,823	Feb. 1, 1994	Schwartz et al.	606	198	
	5,282,824	Feb. 1, 1994	Gianturco	606	198	
	5,290,305	Mar. 1, 1994	Inoue	606	191	
	5,292,331	Mar. 8, 1994	Boneau	606	198	
	5,314,472	May 24, 1994	Fontaine	623	12	
	5,316,023	May 31, 1994	Palmaz et al.	128	898	
	5,342,387	Aug. 30, 1994	Summers	606	198	
	5,383,892	Jan. 24, 1995	Cardon et al.	606	198	
	5,395,390	Mar. 7, 1995	Simon et al.	606	198	
	5,405,377	Apr. 11, 1995	Cragg	623	1	
	5,421,955	Jun. 6, 1995	Lau et al.	216	48	
	5,443,498	Aug. 22, 1995	Fontaine	623	1	
	5,443,500	Aug. 22, 1995	Sigwart	623	1	
	5,449,373	Sep. 12, 1995	Pinchasik et al.	606	198	
	5,458,615	Oct. 17, 1995	Klemm et al.	606	198	
	VB	5,496,365	Mar. 5, 1996	Sgro	623	1
5,507,767		Apr. 16, 1996	Maeda et al.	606	198	
EXAMINER			DATE CONSIDERED			
			4/07/04			

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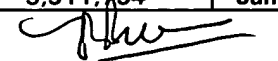
FORM PTO 1449 (modified) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE LIST OF REFERENCES CITED BY APPLICANT(S) (Use several sheets if necessary) Date Submitted to PTO: <b>October 6, 2003</b>		ATTY DOCKET NO. <b>213202.00369</b>	APPLICATION NO. <b>10/073,227</b>
APPLICANT <b>IAN M. PENN, ET AL.</b>		FILING DATE <b>February 13, 2002</b>	
GROUP <b>3731</b>		TECHNOLOGY CENTER R3700	

U.S. PATENT DOCUMENTS						
*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,507,771	Apr. 16, 1996	Gianturco	606	198	
	5,514,154	May 7, 1996	Lau et al.	606	195	
	5,522,880	Jun. 4, 1996	Barone et al.	623	1	
	5,527,354	Jun. 18, 1996	Fontaine et al.	623	1	
	5,540,712	Jul. 30, 1996	Kleshinski et al.	606	198	
	5,569,295	Oct. 29, 1996	Lam	606	198	
	5,575,771	Nov. 19, 1996	Walinsky	604	96	
	5,575,817	Nov. 19, 1996	Martin	623	1	
	5,591,197	Jan. 7, 1997	Orth et al.	606	198	
	5,603,721	Feb. 18, 1997	Lau et al.	606	195	
	5,623,771	Apr. 29, 1997	Winheim	34	585	
	5,628,787	May 13, 1997	Mayer	623	1	
	5,634,941	Jun. 3, 1997	Winston et al.	623	1	
	5,639,278	Jun. 17, 1997	Dereume et al.	623	1	
	5,643,312	Jul. 1, 1997	Fischell et al.	606	198	
	5,643,340	Jul. 1, 1997	Nunokawa	623	1	
	5,653,743	Aug. 5, 1997	Martin	623	1	
	5,674,278	Oct. 7, 1997	Boneau	623	1	
	5,676,696	Oct. 14, 1997	Marcade	623	1	

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<div style="text-align: center;">  <p>FORM PTO 1449 (modified)</p> <p>U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE</p> <p>LIST OF REFERENCES CITED BY APPLICANT(S) (Use several sheets if necessary)</p> <p>Date Submitted to PTO: <b>October 6, 2003</b></p> </div>		ATTY DOCKET NO. <b>213202.00369</b>		APPLICATION NO. <b>10/073,227</b>		
		APPLICANT <b>IAN M. PENN, ET AL.</b>				
		FILING DATE <b>February 13, 2002</b>		GROUP <b>3731</b>		
U.S. PATENT DOCUMENTS						
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JB	5,676,697	Oct. 14, 1997	McDonald	623	1	
	5,693,086	Dec. 2, 1997	Goicoechea et al.	623	1	
	5,709,712	Jan. 20, 1998	Paul et al.	607	27	
	5,733,303	Mar. 31, 1998	Israel et al.	606	198	
	5,755,734	May 26, 1998	Richter et al.	606	194	
	5,755,735	May 26, 1998	Richter et al.	606	194	
	5,755,771	May 26, 1998	Penn et al.	623	1	
	5,807,404	Sep. 15, 1998	Richter	623	1	
	5,824,040	Oct. 20, 1998	Cox et al.	623	1	
	5,827,320	Oct. 27, 1998	Richter et al.	606	194	
	5,836,964	Nov. 17, 1998	Richter et al.	606	194	
	5,836,966	Nov. 17, 1998	St. Germain	606	198	
	5,843,120	Dec. 1, 1998	Israel et al.	606	198	
	5,868,783	Feb. 9, 1999	Tower	606	198	
	5,879,370	Mar. 9, 1999	Fischell et al.	606	198	
	5,902,332	May 11, 1999	Schatz	623	1	
	5,906,640	May 25, 1999	Penn et al.	623	1	
	JB	5,906,759	May 25, 1999	Richter	219	121.63
5,911,754		June 15, 1999	Kanesaka et al.	623	1	
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FORM PTO-449 (modified)

OCT 06 2003

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

LIST OF REFERENCES CITED BY APPLICANT(S)  
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U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
16	5,922,005	Jul. 13, 1999	Richter et al.	606	192	
	5,931,866	Aug. 3, 1999	Frantzen	623	1	
	5,964,770	Oct. 12, 1999	Flomenblit et al.	606	78	
	5,964,798	Oct. 12, 1999	Imran	623	1	
	5,997,703	Dec. 7, 1999	Richter	204	297	
	6,017,362	Jan. 25, 2000	Lau	623	1	
	6,033,433	Mar. 7, 2000	Ehr et al.	623	1	
	6,042,597	Mar. 28, 2000	Kveen et al.	606	198	
	6,053,940	Apr. 25, 2000	Wijay	623	1	
	6,059,811	May 9, 2000	Pinchasik et al.	606	198	
	6,068,656	May 30, 2000	Von Oepen	623	1.17	
	6,083,259	Jul. 4, 2000	Frantzen	623	1.15	
	6,090,133	Jul. 18, 2000	Richter et al.	623	1	
	6,106,548	Aug. 22, 2000	Roubin et al.	623	1.15	
	6,114,049	Sep. 5, 2000	Richter	428	571	
	6,117,156	Sep. 12, 2000	Richter et al.	606	194	
	6,156,052	Dec. 5, 2000	Richter et al.	606	191	
	6,159,237	Dec. 12, 2000	Alt et al.	623	1.11	
	6,183,507 B1	Feb. 6, 2001	Lashinski et al.	623	1.15	
	6,197,048 B1	Mar. 6, 2001	Richter	623	1.15	
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## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
VB	6,238,401 B1	May 29, 2001	Richter	606	108	
	6,251,133 B1	Jun. 26, 2001	Richter et al.	623	1.16	
	6,287,336 B1	Sep. 11, 2001	Globerman et al.	623	1.3	
	6,299,755 B1	Oct. 9, 2001	Richter	205	651	
	6,315,794 B1	Nov. 13, 2001	Richter	623	1.34	
	6,355,059 B1	Mar. 12, 2002	Richter et al.	623	1.17	
	6,375,677 B1	Apr. 23, 2002	Penn et al.	623	1.16	
	6,547,817 B1	Apr. 15, 2003	Fischell et al.	623	1.16	
	2001/0000043 A1	Mar. 15, 2001	Israel et al.	606	198	
	2002/0052646 A1	May 2, 2002	Fischell et al.	623	1.15	
	2003/0114868 A1	Jun. 19, 2003	Fischell et al.	606	159	

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	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES/NO/ OR ABSTRACT
VB	1 WO 01/15632 A1	8 MAR 2001	PCT	A61F 2	06	
VB	2 WO 98/22159 A3 Corrected Version	28 MAY 1998	PCT	A61F 2	06	
	3 WO 98/33546	6 AUG 1998	PCT	A61M 29	00	
	4 WO 97/33532	18 SEP 1997	PCT	A61F 2	06	
	5 WO 97/32544	12 SEP 1997	PCT	A61F 2	06	
	6 WO 97/32543	12 SEP 1997	PCT	A61F 2	06	
	7 WO 97/04721	13 FEB 1997	PCT	A61F 2	06	
VB	8 WO 96/14028	17 MAY 1996	PCT	A61F 2	06	

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FILING DATE <b>February 13, 2002</b>				GROUP <b>3731</b>			
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES/NO/ OR ABSTRACT
✓	9	WO 96/03092 A1	8 FEB 1996	PCT	A61F 2	02	
	10	WO 96/02295 A1	1 FEB 1996	PCT	A61M 29	02	
	11	WO 95/31945 A1	1 FEB 1996	PCT	A61F 2	06	
	12	WO 95/09584	13 APR 1995	PCT	A61F 2	06	Abstract in English
	13	WO 94/12136	9 JUN 1994	PCT	A61F 21	06	
	14	CA 2,185,740	18 MAR 1998	Canada	A61F 2	06	
	15	CA 2,175,722	4 NOV 1997	Canada	A61F 2	04	
	16	CA 2,171,047	6 SEP 1997	Canada	A61F 2	06	
	17	CA 2,134,997	4 MAY 1996	Canada	A61F 2	04	
	18	CA 1,245,527	29 NOV 1988	Canada	A61M 29	00	
	19	CA 1,239,755	2 AUG 1988	Canada	A61F 2	00	
	20	EP 0 709 067 A2	1 MAY 1995	Europe	A61F 2	06	
	21	EP 0 669 114 A1	30 AUG 1995	Europe	A61F 2	06	
	22	EP 0 566 807 A1	27 OCT 93	Europe	A61F 2	06	No
	23	EP 0 505 686 A1	30 SEP 1992	Europe	A61F 2	06	
	24	EP 0 045 627	2 OCT 1982	Europe	F16L 13	00	
	25	FR 2,678,508	8 JAN 1993	France	A61F 2	06	No
✓	26	DE 295 16712 U1	2 AUG 1996	Germany	F16S	08	No
✓	27	JP 6-41745	3 JUN 1994	Japan	A61M 29	02	Yes
EXAMINER <i>[Signature]</i>				DATE CONSIDERED <i>11/07/04</i>			

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FORM PTO 1442 (modified) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE LIST OF REFERENCES CITED BY APPLICANT(S) (Use several sheets if necessary) Date Submitted to PTO: <b>October 6, 2003</b>		ATTY DOCKET NO. <b>213202.00369</b>	APPLICATION NO. <b>10/073,227</b>
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		FILING DATE <b>February 13, 2002</b>	GROUP <b>3731</b>
OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)			
✓	✓	Lawrence et al., "Percutaneous Endovascular Graft: Experimental Evaluation," 1987 RSNA Annual Meeting, RADIOLOGY, Vol. 163, pp. 357-60 (May 1987).	
	✓	Mirich et al., "Percutaneously Placed Endovascular Grafts for Aortic Aneurysms: Feasibility Study," RADIOLOGY, vol. 170, pp. 1033-37 (1989).	
	✓	Fallone et al., "Elastic Characteristics of the Self-Expanding Metallic Stents," INVESTIGATIVE RADIOLOGY, Vol. 23, pp. 370-76 (May 1988).	
	✓	Charnsangavej et al., "Stenosis of the Vena Cava: Preliminary Assessment of Treatment with Expandable Metallic Stents," RADIOLOGY, 1986 161:295-98.	
	✓	Rösch et al., "Gianturco Expandable Stents in Experimental and Clinical Use," March 24, 1987, pp. 121-124.	
		Wallace, et al., "Tracheobronchial Tree: Expandable Metallic Stents Used in Experimental and Clinical Applications - Work in Progress," RADIOLOGY, 158:309-12 (1986).	
		Rösch et al., "Experimental Intrahepatic Protacaval Anastomosis: Use of Expandable Gianturco Stents," RADIOLOGY, 162:481-85 (1987).	
		Rösch et al., "Modified Gianturco Expandable Wire Stents in Experimental and Clinical Use," ANN RADIOL., 31:100-03 (1988).	
		Charnsangavej et al., "A New Expandable Metallic Stent for Dilatation of Stenotic Tubular Structures: Experimental and Clinical Evaluation," HOUSTON MEDICAL JOURNAL, Vol. 3, June 1987, pp. 41-51.	
		Rösch et al., "Gianturco Expandable Wire Stents in the Treatment of Superior Vena Cava Syndrome Recurring After Maximum-Tolerance Radiation," CANCER, 60:1243-46 (1987).	
		Yoshioka et al., "Self-Expanding Endovascular Graft: An Experimental Study in Dogs," AJR, 151:673-76 (1988).	
		Simonds et al., "Use of Expandable Metal Stents in the Treatment of Bronchial Obstruction," THORAX, 44:680-81 (1989).	
✓		Duprat et al., "Flexible Balloon-Expanded Stent for Small Vessels - Work in Progress," RADIOLOGY, 162:276-78 (1987).	
EXAMINER <i>[Signature]</i>		DATE CONSIDERED <i>4/27/04</i>	

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LIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: February 13, 2002

ATTY DOCKET NO.

13202.00369

APPLICATION NO.

NYA

APPLICANT

IAN M. PENN, ET AL.

FILING DATE

February 13, 2002

GROUP

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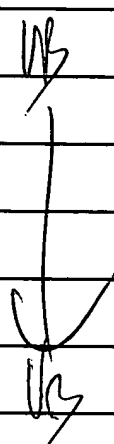
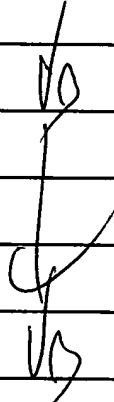
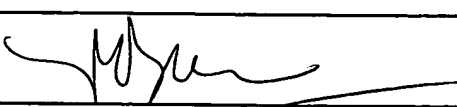
## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
UB	5,607,442	03/04/97	Fischell, et al.	606	191	
	5,776,161	07/07/98	Globerman	606	194	
	5,697,971	12/16/97	Fischell, et al.	623	1	
	6,203,569 B1	03/20/01	Wijay	623	1.15	
	5,913,895	06/22/99	Burpee, et al.	623	1	
	5,980,552	11/09/99	Pinchasik, et al.	606	198	
	6,017,365	01/25/00	Von Oepen	623	1	
	6,066,169	05/23/00	McGuinness	623	1.16	
	6,086,604	06/11/00	Fischell, et al.	606	198	
	6,090,127	06/18/00	Globerman	606	194	
	6,099,455	08/08/00	Columbo, et al.	600	3	
	6,117,165	09/12/00	Becker	623	1	
	6,123,721	09/26/00	Jang	623	1	
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EXAMINER	DATE CONSIDERED 4/29/04					

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>FORM PTO 1449 (modified)</b> U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE LIST OF REFERENCES CITED BY APPLICANT(S) <i>(Use several sheets if necessary)</i>				ATTY DOCKET NO. <b>13202.00369</b>		APPLICATION NO. <b>NYA</b>	
Date Submitted to PTO: <b>February 13, 2002</b>				APPLICANT <b>IAN M. PENN, ET AL.</b>			
				FILING DATE <b>February 13, 2002</b>		GROUP <b>3738</b>	

U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	6,193,747 B1	02/27/01	Von Oepen	623	1.15		
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FOREIGN PATENT DOCUMENTS							
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	1 WO 00/28922	05/25/00	PCT				
	2 WO 00/49971	08/31/00	PCT				
	3 WO 00/53122	09/14/00	PCT				
	4 WO 01/00112 A1	01/04/01	PCT				
	5 WO 01/15632 A1	03/08/01	PCT				
OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)							
							
EXAMINER				DATE CONSIDERED <b>4/24/04</b>			

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